



FY 2006 Homeland Security National Training Program

Grant Application Guidance Kit

Catalog of Federal Domestic Assistance (CFDA) Number 97.005

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**Homeland
Security**

I. Introduction

The Department of Homeland Security (DHS) Preparedness Directorate's Office of Grants and Training (G&T), (formerly known as the Office of State and Local Government Coordination and Preparedness (SLGCP)) is the principal component of DHS responsible for preparing the United States to prevent, plan for and respond to incidents of national significance and catastrophic events. In carrying out its mission, G&T is the primary office responsible for providing training, funds for the purchase of equipment, support for the planning and execution of exercises, technical assistance and other support to assist state, local, tribal and territorial governments.

Cooperative Agreements will be awarded to eligible applicants to design, develop, and deliver training content and support for federal, state, local, and tribal jurisdictions in accordance with DHS doctrine guidance and approved Homeland Security Strategies. Based upon their current activities and identified needs, G&T invites the following organizations to apply: Louisiana State University, Texas A&M University, New Mexico Technical University, International Association of Fire Fighters, Michigan State University, National Sheriff's Association, St. Petersburg College, Western Oregon University, Eastern Kentucky University and George Washington University.

II. National Preparedness Goal and Priorities

The President issued Homeland Security Presidential Directive 8 (HSPD-8): National Preparedness, on December 27, 2003. This directive tasks the Secretary of DHS, in coordination with the heads of other appropriate Federal departments and agencies and in consultation with state and local governments, to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters and other emergencies. On March 26, 2004, the Secretary of DHS charged G&T with leading HSPD-8 implementation on behalf of DHS. On March 31, 2005, DHS issued the Interim National Preparedness Goal (the Goal). The Goal establishes the following vision for National Preparedness:

To engage Federal, State, local and tribal entities, their private and non-government partners, and the general public to achieve and sustain risk-based target levels of capabilities to prevent, protect against, respond to, and recover from major events in order to minimize the impact on lives, property, and the economy.

The Goal is a significant evolution in the approach to preparedness and homeland security. It presents a collective vision for national preparedness and establishes National Priorities to guide the realization of that vision to meet the most urgent needs. The Goal is a companion document to the National Response Plan (NRP), National Incident Management System (NIMS), and the interim National Infrastructure Protection Plan (NIPP). These documents can be accessed at www.ojp.usdoj.gov/odp and should be reviewed prior to submitting an application.

G&T is working to increase preparedness by: 1) addressing the goal; 2) establishing mechanisms for improved delivery of Federal preparedness assistance to State and local governments; and 3) outlining actions to strengthen preparedness capabilities of Federal, State, and local entities.

As a result of HSPD-8, G&T is engaged in a new approach to defining the Nation's preparedness through the development and implementation of target capabilities. Target capabilities are defined as combinations of resources that provide the means to achieve a measurable outcome resulting from performance of one or more critical tasks, under specified conditions and performance

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standards. A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel that achieve the expected outcome. The Target Capabilities List (TCL) identifies 37 capabilities integral to nationwide all-hazards preparedness, including acts of terrorism.

The Goal identifies eight priorities. The priorities fall into two categories: (A) three overarching priorities that contribute to the development of multiple capabilities, and (B) five capability-specific priorities that build selected capabilities for which the Nation has the greatest need. Applicants must clearly demonstrate the ability to design, develop and deliver a training program of national scope related to providing tailored, specialized training to enhance the capacity of emergency responders to prevent, deter, respond to or recover from incidents of national significance, including terrorist incidents involving chemical, biological, radiological, nuclear and explosive (CBRNE) weapons of mass destruction (WMD), according to guidance from G&T Training Division.

III. The Fiscal Year 2006 Homeland Security National Training Program

Authorized Program Purpose:

Funding for the Fiscal Year 2006 Homeland Security National Training Program is authorized by Public Law 109-90, the DHS Appropriations Act for Fiscal Year 2006.

Program Approach:

A Capabilities-Based Planning (CBP) approach has been designed to help the nation define, build, and assess preparedness for acts of terrorism, natural disasters and other emergencies based on the planning scenarios developed by the Homeland Security Council. The Universal Task List (UTL) defines the tasks that must be performed to prevent, protect, respond to or recover from incidents of national significance as specified in the planning scenarios.

The FY 2006 Homeland Security National Training Program (HSNTP) will fund the design, development, and delivery of training programs that support the national priorities identified in the Interim National Preparedness Goal and align to target capabilities and their related tasks.

The FY 2006 HSNTP will align these new and developing protocols and refine how G&T develops and delivers training. G&T will maximize available training resources by systematically integrating lessons learned, best practices, and blended learning strategies, expanding train the trainer initiatives, and developing related job aids and performance support tools. G&T training partners will be required to design their training programs to align with one or more of the target capabilities. Training programs must be designed to impart knowledge, skills, and abilities that prepare class participants to perform the tasks to the perform the tasks to measurable performance standards. Training programs must include pre- and post-training assessments according to evaluation practices in keeping with instructional systems design and Kirkpatrick's four levels of evaluation.

IV. General Requirements and Guidance

A. Proposal Elements

Section 1: Program Narrative

The applicant must include an explanation addressing the following elements:

- How the proposed training program will build sustainable, risk-based target levels of capability to improve preparedness at the state, local, and tribal level
- Congruence with the Interim National Preparedness Goal, NRP, NIMS and NIPP
- How the proposal will support the identification of lessons learned and best practices for inclusion into ongoing Department of Homeland Security efforts
- An adherence to the precepts of instructional systems design (ISD) and the application of adult learning principles, including problem-based learning
- A plan to develop and deliver job aids, planning tools, and/or performance support tools, to be provided to state, local, and tribal jurisdictions for the purpose of enabling them to build and sustain capacity independent of further assistance
- Incorporation of a blended learning approach in any web-based training
- Support of G&T's First Responder Training Portal initiative

Section 2: Program Management Plan

The applicant must provide a complete program management plan for the entire 12- month period of the cooperative agreement. This plan must include:

- Goals and objectives of the proposal and the activities to be conducted
- Complete description of the program management structure addressing how the program will be structured, organized, and managed within the recipient's organization. The applicant must provide an organizational chart of the organization and describe how the organization will support the program
- Program schedule containing a high-level schedule and referencing a more detailed schedule (work breakdown structure) to be placed in an appendix. The high-level schedule shall reflect the program life cycle and show phases and deliverables. The detailed program schedule shall show the start/end dates for each work breakdown structure element identified
- Risk management plan describing the approach for identifying and managing risks and identifying known or postulated events or factors that could prevent program objectives (cost, schedule, function, performance, or quality) from being met.
- Performance-based evaluation plan including program performance measures that will assess the attainment of goals and objectives and details a data collection plan including how data will be analyzed.
- Quality control plan to be incorporated into the development and delivery of programs and courses.

Section 3: Work Breakdown Structure

The applicant shall provide a work breakdown structure (WBS) as part of the application.

- A WBS is a task-oriented 'family tree' of activities which organizes, defines and graphically displays the total work to be accomplished in order to achieve the final objectives of a project.
- Each descending level represents an increasingly detailed definition of the project objective. It is a system for subdividing a project into manageable work packages, components or elements to provide a common framework for scope/cost/schedule communications, allocation of responsibility, monitoring and management.

Section 4: Equipment Plan

The applicant must provide an equipment purchasing plan for all proposed equipment purchases that are required to support the program. At a minimum, the plan must detail what equipment will be purchased, why it is necessary, and the costs of the equipment.

Section 5: Detailed Budget

The applicant must provide a detailed budget by task and a summary budget aggregating task costs into the categories of personnel, fringe benefits, travel, equipment, supplies, construction, contracts, other, total direct cost and total indirect costs.

- The budget narrative should include a brief rationale as to how this expenditure supports the program narrative.

B. Application Instructions

Applicants must apply for HSNTF funding through Grants.gov (applications will no longer be accepted through the Grants Management System). To access these materials, go to <http://www.grants.gov>, select "Apply for Grants," then select "Download Application Package," then enter the **CFDA number 97.005**. Select "Download Application Package," and then follow the prompts to download the application package. To download the instructions, go to "Download Application Package" and select "Instructions." NOTE: You will not be able to download the Application Package unless you have installed PureEdge Viewer.

It is recommended to visit Grants.gov as soon as possible to fully understand the process and requirements. If you encounter difficulties, please contact the Grants.gov Help Desk at 1-800-518-4276 to report the problem and obtain assistance with the system. To use Grants.gov, the applicant, must have a DUNS Number and register in the Central Contractor Registry (CCR). You should allow a minimum of five days to complete the CCR registration.

C. Eligibility

Only the organizations listed in Section I are eligible to apply under this solicitation. Receipt of funds under the Fiscal Year 2006 Homeland Security National Training Program is contingent upon the submission and approval of the on-line grant application described in Section IV of this Guidance Kit. The deadline for applications is June 1, 2006.

D. General Requirements

Freedom of Information Act (FOIA):

G&T recognizes that much of the information submitted in the course of applying for funding under this program, or provided in the course of its grant management activities, may be considered sensitive or otherwise important to national security interests. This may include threat, risk, and needs assessment information and discussions of demographics, transportation, public works, and industrial and public health infrastructures. While this information is subject to requests made pursuant to the Freedom of Information Act, 5 U.S.C. §552 (FOIA), all determinations concerning the release of information of this nature are made on a case-by-case basis by the US Department of Homeland Security FOIA Office, and may fall within one or more of the available exemptions under the Act.

Applicants are also encouraged to consult their own state and local laws and regulations regarding the release of information, which should be considered when reporting sensitive matters in the grant application, needs assessment, and strategic planning process.

Civil Rights:

All recipients of federal grant funds are required to comply with nondiscrimination requirements contained in federal laws. All applicants should consult the assurances to review the applicable legal and administrative requirements of the statute that governs G&T funded programs or activities. Recipients of assistance through the Office of G&T are subject to the provisions of Title VI of the Civil Rights Act of 1964; Section 504 of the Rehabilitation Act of 1973, as amended; Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; and other applicable regulations.

If any court or administrative agency makes a finding of discrimination on the grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the DHS Office of Civil Rights. If the applicant is applying for a grant of \$500,000 or more, U.S. Department of Justice regulations (28 CFR 42.301) require an Equal Employment Opportunity Plan. The plan should be included with the application submission if it is not already on file.

Non-Supplanting Certification: This certification, which is a required component of the on-line application, affirms that federal funds will be used to supplement existing funds, and will not replace (supplant) funds that have been appropriated for the same purpose. Potential supplanting will be addressed in the application review as well as in the pre-award review, post-award monitoring, and the audit. Applicants or grantees may be required to supply documentation certifying that a reduction in non-federal resources occurred for reasons other than the receipt or expected receipt of federal funds.

Match Requirement: None.

Assurances: The on-line application includes a list of assurances that the applicant must comply with in order to receive Federal funds under this program. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may

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result in the withholding of funds, termination of the award, or other sanctions. You will be agreeing to these assurances when you submit your application on-line through GMS.

Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirement: This certification, which is a required component of the on-line application, commits the applicant to compliance with the certification requirements under 28 CFR part 69, New Restrictions on Lobbying, and 28 CFR part 67, Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in awarding grants.

Suspension or Termination of Funding: G&T, by written notice, may suspend or terminate funding, in whole or in part, when it is in the best interest of the government.

Copyright: Applicants should be aware that G&T will retain an unlimited, nontransferable, irrevocable license to use, or authorize others to use for Federal government purposes, any material produced under this grant.

DUNS number: Beginning October 1, 2003, a Dun and Bradstreet Data Universal Numbering System (DUNS) number must be included in every application for a new grant or renewal of an award. The DUNS number will be required whether an applicant submits an application through the Office of Justice Programs' (OJP) Grants Management System or using the government-wide electronic portal (<http://www.grants.gov>). An application will not be considered complete until a valid DUNS number is provided by the applicant. Individuals who would personally receive a grant or cooperative agreement from the Federal government are exempt from this requirement. Applicants can receive a DUNS number at no cost by calling the dedicated toll-free DUNS number request line at 1-866-705-5711.

Land Acquisition: No funds shall be used for land acquisition.

Anti-Lobbying Act: The Anti-Lobbying Act, 18 U.S.C. § 1913, recently was amended to expand significantly the restriction on use of appropriated funding for lobbying. This expansion also makes the anti-lobbying restrictions enforceable via large civil penalties, with civil fines between \$10,000 and \$100,000 per each individual occurrence of lobbying activity. These restrictions are in addition to the anti-lobbying and lobbying disclosure restrictions imposed by 31 U.S.C. § 1352. The Office of Management and Budget (OMB) is currently in the process of amending the OMB cost circulars and the common rule (codified at 28 C.F.R. part 69 for DOJ grantees) to reflect these modifications. However, in the interest of full disclosure, all applicants must understand that no federally appropriated funding made available under this grant program may be used, either directly or indirectly, to support the enactment, repeal, modification or adoption of any law, regulation, or policy, at any level of government, without the express approval by OJP. Any violation of this prohibition is subject to a minimum \$10,000 fine for each occurrence. This prohibition applies to all activity, even if currently allowed within the parameters of the existing OMB circulars.

F. Reporting Requirements

Financial Status Reports (Standard Form 269A): Financial Status Reports are due within 30 days of the end of each calendar quarter. A report must be submitted for every quarter the award is active (including partial calendar quarters, as well as for periods where no grant activity occurs). The OJP Office of the Comptroller will provide a copy of this form in the initial award package. Future awards and fund draw-downs will be withheld if these reports are delinquent. The final financial report is due 120 days after the end date of the award period.

Categorical Assistance Progress Reports (OJP Form 4587/1): Categorical Assistance Progress Reports are due within 30 days after the end of the reporting periods, which are June 30 and December 31, for the life of the award. The OJP Office of the Comptroller will provide a copy of this form in the initial award package. Future awards and fund draw-downs will be withheld if these reports are delinquent. The final programmatic progress report is due 120 days after the end date of the award period. Instructions for completing the Categorical Assistance Progress Report are on the reverse side of the form. Both standard report forms can be found at <http://www.ojp.usdoj.gov/oc>.

Semi-Annual Progress Report: The Semi-Annual Progress Report replaces the narrative section of the Categorical Assistance Progress Report (CAPR) (Block #12).

Financial and Compliance Audit Report: Recipients that expend \$500,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards and OMB Circular A-133. Audit reports are currently due to the Federal Audit Clearinghouse no later than nine months after the end of the recipient's fiscal year. In addition, the Attorney General and the Comptroller General of the United States shall have access to any books, documents and records of recipients of Fiscal Year 2006 Homeland Security National Training Program Awards for audit and examination purposes, provided that, in the opinion of the Attorney General or the Comptroller General, these documents are related to the receipt or use of such assistance. The grantee will also give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.